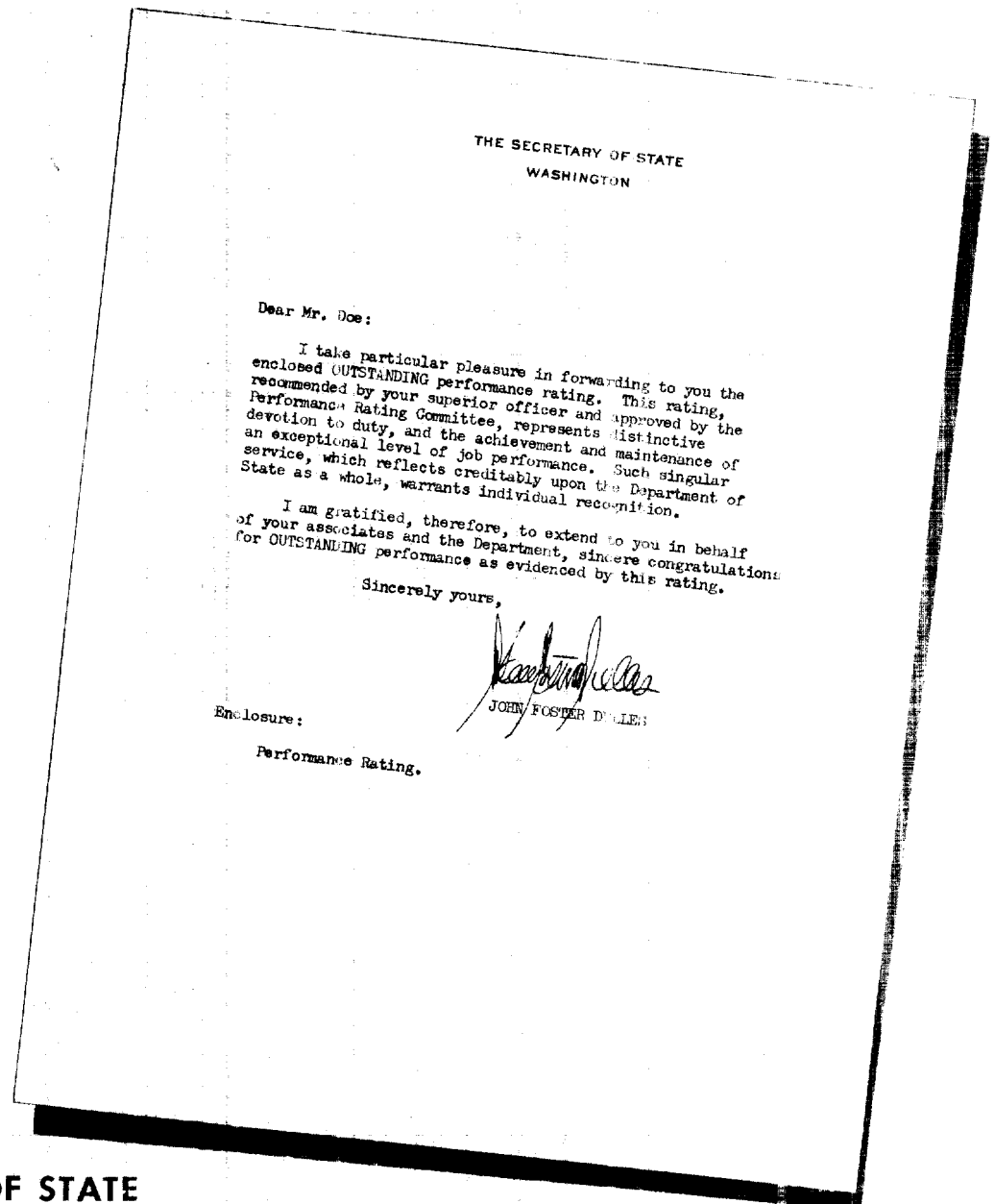


Department Handbook

PREPARATION OF OUTSTANDING PERFORMANCE RATINGS



DEPARTMENT OF STATE

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PREPARATION OF OUTSTANDING PERFORMANCE RATINGS

1. Initiation of "Outstanding" Rating

Supervisors should review most carefully the performance of their employees and make the additional effort necessary to prepare adequate justification for recognition of any employee deserving an "Outstanding" rating. Such an employee must be the type whose rating of "Outstanding" will be readily and enthusiastically accepted by fellow workers and subordinates alike. An employee may make an outstanding contribution to his job which would qualify him for a Performance Award under the Incentive Awards Program but still not be outstanding on all aspects of his job, which is required before he can get an "Outstanding" performance rating. In all recommended "Outstanding" ratings, concurrence should be obtained from the highest practicable level in the area (such as Assistant Secretary, Office Director, etc.).

2. Criteria for "Outstanding" Rating

2.1 The Performance Rating Act of 1950 (Public Law 873, 81st Congress) defines Outstanding performance to be "when all aspects of performance not only exceed normal requirements, but are outstanding and deserve special commendation." Accordingly, "Outstanding ratings" will be given only for work performance sustained at a truly exceptional level. It is expected that such ratings will be comparatively rare and will signify, in each instance, such a level of achievement that its exceptional nature will be readily recognizable. It is this principle that the Committee must apply in reviewing the recommendations submitted to it.

2.2 Note that four specific criteria can be deduced from the Act, as construed by the Department in its performance rating plan:

- a. All aspects of performance must exceed normal requirements.
- b. All aspects must be outstanding and deserve commendation.
- c. The required level of performance must be sustained throughout the rating period.
- d. The required level of performance must be readily recognizable.

3. Preparing the Justification

With the four criteria in mind, each rater and reviewer must prepare the rating form DS-886 in quadruplicate and forward it with four copies of a statement of justification containing specific information in regard to the following:

- a. The responsibilities assigned the employee, which are:
 - (1) The actual work operations that constitute a job.
 - (2) Demonstrations, in the performance of duties or in working relationships, of qualities which the rater considers essential to the job, but has not been able to describe in terms of the actual work operations.

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All of the major responsibilities assigned to an employee by his supervisor normally will be covered in the position description, if it is accurate and up-to-date. For performance rating purposes, these responsibilities need not be described in the formal language of the position description, but can, instead, be stated briefly in the rater's own words. To be live and meaningful, however, responsibilities must be stated in specific "doing" terms, using action words, not such general terms as "is responsible for," or "handles" or "processes," or "assists."

- b. The job work requirements or standards for satisfactory performance of the responsibilities (Part 3, Form DS-886). Job work requirements or standards are descriptions of how well the employee must execute each responsibility that constitutes his job in order to perform it satisfactorily. Every supervisor is responsible for mutual understanding and agreement with his employees in regard to the standards of performance required for satisfactory execution of their responsibilities. A job work requirement usually states how many times, how well, in what time, or in what manner a responsibility must be performed in order that the employee's performance may be considered satisfactory. It must contain language that enables the supervisor to evaluate the employee's performance and to judge whether it is satisfactory. For supervisory positions, the requirements must be drafted not only for the technical phases of the job, but also for the management aspects.
- c. The manner in which the employee exceeds each performance requirement to an extent that justifies a rating of "Outstanding" (Part 4, Form DS-886). Once the rater has listed the responsibilities assigned to the employee and has stated his job work requirements or standards for the position, the rater should then explain in specific detail the manner in which the employee exceeds each job work requirement to an extent that justifies a rating of "Outstanding." The thought to keep in mind here is that the explanation must be sufficiently clear and complete to give the Performance Rating Committee an opportunity to determine whether the standards for an "Outstanding" rating are reasonable and in accordance with the four criteria listed in section 2.2. The Committee, as much as it would like to, feels it cannot merely take the supervisor's word that an employee is Outstanding. As a result of its experience during the past year, the Committee has found that there is a tendency on the part of supervisors to make broad general statements about members of their staff without providing the necessary specific evidence as to their Outstanding performance. For further guidance on justifying an "Outstanding" rating, see exhibit A, Guide for Specific Aspects of Performance.
- d. A narrative statement of the employee's major achievements during the rating period. In concluding his statement of justification, each rater or reviewer is asked to look once again at the last of the four criteria listed in section 2.2, viz. "The required level of performance must be readily recognizable," and to make a brief narrative statement of the employee's major achievements and the results of such achievements, if any, during the rating period. This statement should be prepared in the rater's own words and should be as specific as possible.

4. Time Limit for Submission

A period of 60 days from the due date will continue to be allowed for the submission of recommendations for "Outstanding" ratings. The Performance Rating Committee has not been considering and will not consider any such recommendations after this time limit, unless prior adequate written explanation has been made and a time extension approved by the Performance Rating Committee acting through its Executive Secretary.

5. Performance Awards

If supervisors wish those employees who receive "Outstanding" ratings to have recognition under the Incentive Awards Program, they must nominate them for Performance Awards.

6. Summary

In summary, there is quoted below, in part, a letter which was sent, with the approval of the Civil Service Commission, by an agency Performance Rating Board of Review to an employee appealing for the raise of his rating from "Satisfactory" to "Outstanding":

The Board cannot approve an "Outstanding" rating for you unless it has convincing evidence that performance under each factor was not only worthy of an outstanding evaluation, but also that performance under each factor deserved special commendation. Performance at a high level does not necessarily mean that the individual is entitled to an outstanding rating. The fact that an employee has invented something, recommended a specific course of action, or made commendable suggestions, is not sufficient, in itself, to warrant such a rating.

As a guide we would like to point out among other things that outstanding performance which would support an outstanding rating must be typical throughout the rating period. It must be easily recognized as exceptional in results produced. It must be worthy of special commendation by appropriate higher levels of administration. It must be such as would be recognized readily by co-workers and supervisors who have full knowledge of the facts.

7. Examples

The Performance Rating Committee has selected four actual ratings at varying grades, which have been approved, as examples which it thought would be helpful to supervisors in preparing "Outstanding" ratings, and has edited them only in the interests of anonymity. These are attached as exhibits, together with a fictitious example of a disapproved "Outstanding" rating (composite of several actual ratings) and a list of certain "do's" and "don't's" to be kept in mind. Further guidance and help may be requested from administrative officers or from the Executive Secretary, Performance Rating Committee, extension 3713.

GUIDES FOR SPECIFIC ASPECTS OF PERFORMANCE

The guides below are designed to assist in determining whether a rating of "Out-standing" is merited. These guides are not mutually exclusive nor are they assumed to be all-inclusive. They are not to be applied or interpreted mechanically but will serve to the extent applicable as a basis for formulating specific judgments in each case.

1. Quality of Work

- a. Achievement of quality standards far beyond normal expectations without sacrifice of speed or quantity, to the extent that high quality contributes to the usefulness of the work produced, and establishes a recognized performance goal for others in the same line of work.
- b. Reduction in error rates (without sacrifice of speed, quantity or quality) to so great an extent that normal checks have been appreciably reduced or eliminated, new performance goals established, and significant economies achieved.
- c. Effectiveness in oral, written, or graphic presentation to such a great extent as to result in convincing recipients of the merit of the matter presented more promptly, more completely, and more lastingly than could reasonably be expected of a highly competent employee. This should be demonstrable in terms of economies in time, money or materials; approval of program authorizations or appropriations in the face of significant obstacles; or evidence of widespread public recognition or support for a significant program.
- d. Elimination of safety hazards and maintenance of safe working practices under recognizably adverse working conditions to such an exceptional degree that notable and superior safety records are achieved without sacrifice of quality or quantity of production. Initiation or maintenance of greatly improved safety measures which result in the achievement of an unusual safety record.

2. Quantity of Work

Sustained productivity, which exceeds the normal rate to a noteworthy extent without sacrifice of quality standards. Indicators of such a level of productivity may include accomplishment of objectives substantially in advance of reasonable deadlines; superior ability to meet abnormally short emergency deadlines, or adoption of exceptionally effective production short cuts; and the establishment and achievement of new performance goals for other employees in the same line of work.

3. Adaptability

- a. Achievement in anticipating, meeting, and adjusting to new or changing situations with such speed and resourcefulness that production of superior quantity and quality is not only unimpeded but is facilitated.
- b. Application of such exceptional initiative in taking action to meet work needs and to eliminate obstructions that production of unusual quantity and quality is achieved with less than normal supervisory direction or checking.

Exhibit A (cont.)

4. Working Relationships

Positive and lasting contributions to the achievement of harmonious joint effort with and among co-workers and to the reduction or elimination of existing strains or conflicts. Setting an exceptional example for others in terms of interest in job, loyalty to group and its goals, and creation of favorable group spirit--which are evidenced by superior group accomplishments.

5. Leadership

Creation or maintenance of a group which establishes a record of unusual accomplishments and to a notable extent attracts and holds productive employees. Achievement of unusual productivity through development of skills and abilities of employees far beyond normal expectations for the type of personnel involved.

6. Planning and Organizing Ability

Exceptional achievement in planning and scheduling use of space, equipment, materials, and manpower so that (a) production or services are expedited far beyond normal requirements; (b) work processes are greatly simplified; (c) bottlenecks are prevented or eliminated; (d) new techniques are promptly developed or adapted, and utilized; and (e) organizational or individual responsibilities are defined with such exceptional clarity as to prevent duplication of functions, costly processing, delays in completion of functions, and confusion as to degree of responsibility.

7. Problem-Solving Ability

- a. Demonstration of exceptional speed and accuracy in developing or selecting most effective methods of solving problems before major commitments are made; assurance that alternative solutions to problems are readily available for use when needed.
- b. Demonstration of superior keenness and objectivity in reviewing processes under way, recognizing inadequacies as they develop, and immediately making such modifications as will accomplish production more speedily, safely, and effectively.
- c. Predictions, and actions based thereon, are unusually reliable and valid and make possible most effective use of and economies in resources, manpower, and materiel.
- d. Personal responsibility for unusual contributions to developmental or applied research, recognized as outstanding by professional groups and by governmental and industrial organizations.

Exhibit B

APPROVED OUTSTANDING RATING FOR JOHN DOE, CLERK-TYPIST, GS-3

December __, 195__

<u>Duties</u>	<u>Requirements</u>
1. Maintains administrative files in the Office of the Chief	Files administrative material on a current basis and in a logical manner so that others can use the files efficiently.
2. Maintains personnel and budget records for the Division.	Keeps all personnel, budget, attendance, etc. records on a current basis.
3. Checks accuracy of weekly time utilization sheets and prepares statistical summaries monthly.	Submits accurate statistical summaries of time utilization sheets within first week of each month.
4. Performs minor routine administrative duties such as ordering supplies, taking care of maintenance problems, typing personnel actions, requisitions, travel requests and vouchers, etc.	Performs routine duties with dependable regularity; displays initiative; shows cooperative spirit in dealings with other personnel.
I. <u>Introduction</u>	
Mr. Doe entered on duty in the Division on November __, 195__ as a GS-5 Administrative Assistant. He served in this capacity for seven months and then accepted a demotion to GS-3 Clerk-Typist in lieu of separation by reduction in force.	
The period under review was a time of drastic adjustments in the Division because of the severe budget cuts imposed. It became necessary on a temporary basis to use the divisional personnel for assignments other than those given in the official position description. In Mr. Doe's case he was asked to assist on various clerical and administrative duties in the Office of the Chief. He was selected for this assignment because:	
1. He had displayed during his first seven months of employment in this division an unusual grasp of administrative techniques and a definite potential for development in the executive field;	
2. The division was without an administrative position;	
3. The staff assistant who normally directs the administrative work was requested to spend considerable time assisting the Office Director with the administrative and management problems confronting him and was away from the Division for a large part of her time.	
The duties and requirements stated above are those established in consultation with Mr. Doe, as being commensurate with the responsibilities of his GS-3 position.	

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Exhibit B (cont.)

II. General Appraisal

Mr. Doe's performance has been outstanding at all times and in every respect. He displayed a thorough knowledge of personnel, budget and management procedures and techniques. On his own initiative and frequently without guidance he accepted responsibility far beyond the requirements of his position but at the same time fulfilled his routine and his important responsibilities efficiently and cheerfully.

His judgment was sound and he displayed real ability in handling even the most delicate personnel problems. He was cooperative at all times and held the confidence and support of every member of the staff. He was even-tempered, courteous and completely reliable even under pressure or emotional stress.

Mr. Doe displayed an interest in the work of the Division and a good knowledge of the organization and responsibilities of the entire Department as well as of his immediate area. His ability to understand generally the work of the Division enabled him to assist in many aspects of our work. The high quality of work which was apparent in all assignments indicated a maturity of judgment and an intellectual interest that far exceeded the normal for a GS-3.

The quantity of work produced was far greater than that normally expected. To my knowledge he never missed a deadline nor did he ever have to be reminded of jobs to be done. He fulfilled his assignments in a minimum amount of time and regularly, on his own initiative, assisted other clerical staff members with their work.

Mr. Doe's greatest asset to the Division was his adaptability. Because of the reduced staff and many changes in assignments that resulted, it was necessary for short periods of time to ask Mr. Doe to assume other responsibilities. He assumed increasing responsibility in the management of his Unit. He carefully watched the work load in the unit, assisting in the dissemination of the material, and made excellent suggestions for temporary relief of bottlenecks. He assisted other staffs and other Divisions with administrative and clerical problems. During my absence he assumed responsibility for the minor administrative and management problems. Although he was the junior member of the staff his advice was frequently sought and his judgment respected.

III. Appraisal of Specific Duties

1. One of Mr. Doe's first recommendations was to separate the administrative files from the regular front-office files. This recommendation was made because there was not adequate space for all the files in one office and there was no direct relationship between the administrative material and the other front-office materials. He accomplished this separation of files in a limited amount of time and without interruption of the daily work. At the same time he cleaned out the old material and rearranged the filing system into an efficient logical order. Not only did he save 25 percent of the file space but also a considerable amount of future time because of the more efficient arrangement. At all times during his assignment in this position he kept the administrative materials filed on a daily basis. The files were neatly arranged and well titled. The breakdown is balanced so that no folder need become large or cumbersome yet all

Exhibit B (cont.)

related material is together. On his own initiative he checked all personnel files to assure that they contained all fan folds, all notices of periodic increases, all performance ratings and a copy of the employee's application form. In no case have I been at a loss to locate specific items quickly although I have not taken the time to familiarize myself with more than the general outline of the file system.

2. Mr. Doe kept the time and attendance records for the entire Division. During the rating period he never failed to submit a completely accurate time and attendance report before the deadline set by the Payroll Branch. I audited the leave cards at the end of each quarter or twice during the period under review. Out of an average of 40 cards audited twice for both annual and sick leave, I found only two minor errors. The cards were maintained on a current basis, were neat and accurate. In addition, Mr. Doe designed a form to show leave carried over, leave earned, and leave balance, which he prepared for the information of each employee at the end of each quarter of the leave year. Infrequently there were questions raised by an employee as to the accuracy of his leave balance, but in each instance Mr. Doe was able to prove the accuracy of his summary to the employee's satisfaction.

The budget control records, which were established for the three separate budgets under which we operate, were initiated and maintained by Mr. Doe. These records were checked each quarter with those of the budget officer of the Executive Staff and found in perfect order. The efficiency of such records is emphasized by the minimum amount of time it takes to prepare financial statements of going rates on any program or personnel adjustments between programs.

Mr. Doe maintained on a current basis personnel cards for each employee. These were set up in a kardex by organizational units and marked to indicate program support. I am able at a glance to check the latest personnel changes, performance evaluations, budgetary adjustment, and number and grades of employees by organization and program. Since this was a period of constant personnel changes and budget adjustments, I found the system to be extremely helpful and time-saving.

In addition, Mr. Doe on his own initiative prepared for me a supplement to our staff memorandum concerning leave regulations. It was designed to provide each employee with the latest changes in the official regulations and to reemphasize divisional procedures.

3. At the time Mr. Doe was assigned to this position we were responsible for submitting a monthly time utilization report to the Executive Staff. This had been prepared as a routine summary and submitted without any attempt at analysis or review. I was convinced that the same information organized differently and carefully analyzed could be effectively used as a management tool. With only a brief verbal discussion and general supervision Mr. Doe changed the form of reporting from time spent on specific projects to time spent on broad programs. Although I have made no concerted effort to check the statistical accuracy of the production compilations, I have at various times made spot checks. On the basis of these spot checks, it can be assumed that the margin of statistical error is less than two percent. In addition he frequently prepared, under my supervision, the first draft of the analysis of the Division's quarterly production record. In this type of assignment Mr. Doe demonstrated outstanding ability to organize ideas and to write concisely and forcefully. This task was accomplished with a minimum of guidance and supervision.

Exhibit B (cont.)

4. Mr. Doe fulfilled his responsibilities for the administrative housekeeping duties with dependable regularity. His thorough knowledge of the administrative regulations and procedures and his proven ability in this field made it unnecessary to check his work. I have not received a single complaint of his work in this field from any member of our staff or from any person in the administrative field with whom he had contact. He was constantly alert to the possibilities of improving the efficiency of the office as well as the working conditions for employees. However, in all negotiations involving the expenditure of funds he made sure that the employee's request was justified and not an unnecessary expenditure. He displayed a sympathetic approach to the problems raised by staff members but displayed no partiality in his decisions. His ability to be objective in his approach is demonstrated by the attached report on the results of a typewriter survey he conducted in the Division at the request of the Office of the Chief and the area Executive Staff.

IV. Summary

In February, a month after the rating period, Mr. Doe received an A. B. degree from _____ University, graduating with distinction in the field of foreign affairs. In addition he was elected to the Phi Beta Kappa Society. He was immediately commissioned a Second Lieutenant in the Marine Corps and will report for duty March __, 195 __. He will be on military furlough from the Department.

I believe his past work performance was outstanding in every respect and his demonstrated potential for growth makes him a valuable asset to the Department.

Exhibit C

APPROVED OUTSTANDING RATING FOR MARY BROWN, SECRETARY, GS-7

February __, 195__

Job Content or Responsibilities

The job description for Mrs. Brown is substantially accurate.

Job Work Requirements

Although expert taking of dictation and typing are essential, it is in employee's capacity as administrative assistant that the more valuable and unique services are required. The latter services include: (a) tactful and skillful handling of telephone calls and personal visits from officers of the Department and other agencies of the Government, from representatives of foreign diplomatic missions and from United Nations officials, frequently taking action on such calls; (b) extensive and accurate knowledge of intra-departmental and inter-departmental procedures and channels, relieving supervisor of technical details; and (c) organizing and maintaining complicated files reflecting complex relationships between agencies of the United States and the United Nations, together with profuse documentation.

Supervisor's Narrative Appraisal of Over-All Work Performance

The employee is outstanding in dictation and typing, using excellent discretion in the physical arrangement of typed material. She is able to perform her duties in connection with the high-level operations of the office and under pressure of time in a rapid and efficient manner. She has developed a sound working knowledge of the policies, viewpoint and methods of operation of her supervisor. She is extremely discreet in handling visitors and phone calls, showing great tact and judgment and leaving pleasant and satisfactory impressions. She exercises keen judgment in screening and assigning priority for consideration of all material coming into the office. During absences of her supervisor, even for extended periods of time, she is able to manage and handle the flow of material and the work of the office so that the matters are efficiently cared for by the officer in another office acting in the absence of the supervisor.

Supplementary Statement in Support of Recommendation of Outstanding Performance Rating for Mrs. Mary Brown1. Special Characteristics of Job

As background for an understanding of the requirements of employee's job which have been met in such outstanding fashion as to deserve special commendation, it appears helpful to describe the special nature of the supervisor's job and the consequent special requirements which the employee has met in the capacity of administrative assistant to the supervisor. The supervisor is Special Assistant to the Assistant Secretary of State. The supervisor's position requires that he operate a one-man office with no officer staff. The duties of this office require the development of United States policies and the negotiation and coordination thereof within the Department of State and among the Department of State, the Foreign Operations Administration, the Department of Defense, the Department of the Treasury, and the Bureau of the Budget.

Exhibit C (cont.)

Obviously, in the absence of any supporting officer staff, the supervisor must, and does, use the employee as a true administrative assistant. The employee's outstanding performance in this capacity is evident in day-to-day work. However, employee's performance in this respect is tested with respect to its outstanding character even more revealingly during the absences of the supervisor from the Department, which are frequent and often as long as a week. During all of the longer absences of the supervisor the employee has shown an outstanding ability to manage and handle the flow of work of the office so that matters requiring action at a higher level are efficiently and expeditiously cared for by another officer who acts in the absence of the supervisor. During shorter absences, the employee has shown the highest order of judgment and discretion in handling affairs requiring the supervisor's attention--preparing them for action, communicating the problem to the supervisor by telephone, securing his instructions, and translating those instructions into final action in the Department or in the various agencies of the executive branch as necessary. In this connection, the employee has uniformly shown a high sense of discrimination, intelligence and informed knowledge and judgment in what to handle herself and what to refer to her supervisor. During all of the shorter absences, there has literally been no officer in the Department to whom the employee could turn for assistance--she either had to handle the matter herself or to develop it to the state where a phone call to the supervisor could enable him to prescribe the appropriate action. The supervisor does not recall any occasion when he was absent when it was not necessary for the employee to study and communicate to him for action some problem coming into the office while he was away.

2. Screening Incoming Matters

The supervisor's office receives telegrams and other papers not only from within the Department but also regularly from the Foreign Operations Administration and on a "need-to-know" basis from the Department of Defense. The employee displays an extraordinarily high sense of judgment in screening those matters which do not need to come to the attention of the supervisor as well as in emphasizing and following up on those matters which require priority or, in many instances, emergency attention by the supervisor.

3. Knowledge of Supervisor's Policies

The employee, through ability and long training prior to her present position, keeps herself intimately informed regarding policies governing her supervisor's work. It is this ability to grasp the full significance of these policies that enables the employee to be an outstandingly helpful partner in the work rather than merely an excellent technician in the secretarial field.

4. Knowledge of International Organization Affairs

The employee has served in the Department of State for 18 years, about 13 years of this service having been in connection with international organization affairs. In 1939 the employee served an Assistant Legal Adviser who was in charge of the work on Hackworth's Digest of International Law. During this period, the employee earned an LL.B. degree from _____ University School of Law, Washington, D. C.; and for a time served as the secretary of a Board of Appeals and Review on visa cases. In 1942,

shortly after the inception of her Division, the supervisor whom the employee served entered the _____ Division and the employee accompanied him at his request. The employee attended the Dumbarton Oaks Conference and the San Francisco Conference at which the United Nations was born. In 1945 the employee had attained the officer status of P-2. Subsequently the employee was absent from the Department for about three years caring for her child. She returned to the Department in 1949, a time when a severe reduction-in-force then in process would likely have made it impossible for a person of lesser ability to obtain employment with the Department.

This extended reference to the employee's education and experience in the Department is believed especially pertinent in showing how she has gained the ability to render such outstanding services today.

5. Knowledge of the Department in General

During her 18 years of service, the employee has applied her native ability and highly developed skills to great advantage. She has attained a truly outstanding knowledge of the Department, its functional organization, its modus operandi, and the Departmental regulations and procedures. She has been with the Department so long and is so wise in its ways that she can always find a way of getting something done, often through tactful use of indirect channels.

6. Adapting to Supervisor's Methods of Operation

Again because the supervisor has no officer staff, a substantial proportion of the work of the office must be done on an emergency basis and under very high pressure because there is no other officer to whom any of the work can be delegated. This requires that the employee be a very fast and accurate stenographer, which is certainly the case, and that the employee be able to withstand sustained emergency pressure for considerable periods of time without becoming fatigued or upset.

In this same connection, the employee has shown the greatest sensitivity in adjusting to the supervisor's time problems with an intuitive awareness of when to interrupt him and when to carry on by herself.

7. Phone Calls and Visitors

Phone calls and visitors are received from many agencies of the executive branch, from the embassies, and from large industrial corporations interested in the reconstruction work abroad. The employee uniformly displays great tact in handling these phone calls and visitors and, perhaps even more important, handles those matters in a way that never fails to develop good will and a favorable impression. Her combination of friendliness, tact and knowledge of the work has often occasioned praise to the supervisor.

8. Technical Skills

The employee's shorthand and typing are outstanding. The supervisor's evaluation of the employee's skill in these fields is based upon his experience in 25 years of the

Exhibit C (cont.)

practice of law in law firms where only the highest secretarial skills that could be purchased on the market were employed. The employee's excellence includes the rather rare ability to take dictation rapidly and accurately over the telephone from a strange voice. Many of the papers which the employee prepares are for consideration at the highest levels in the Department of State and in several other agencies of the executive branch. The employee's outstanding accuracy and skill together with her ability to produce an attractive page of typing have received very favorable comment both within and without the Department.

The employee has developed and maintains an exceedingly logical and well-arranged file system. She can produce any paper at a moment's notice; in her absence the supervisor can do almost as well.

9. Devotion to Job

The employee has consistently shown a cheerful willingness to get the job done, regardless of normal hours or normal working conditions. For instance, she has frequently worked through the lunch hour with no time off for lunch when there was emergency work pending. She has willingly adjusted a difficult domestic schedule to work on Saturdays when the work of the office required it. On the Friday afternoon of Hurricane Hazel, when the employees of the Department were dismissed in the early afternoon, an emergency job was pending. The employee worked through the entire afternoon and late into the evening even though it involved physical risk from falling trees and other hazards when she eventually made the long trip from the Department to her home. In spite of the adverse conditions of the hurricane aftermath she returned to the office on Saturday morning and worked through until the job was completed. Only on one occasion has she ever requested financial compensation for overtime work. It is apparent that her devotion to her work springs from that rare combination of thoughtfulness and loyalty together with so thorough a knowledge of the work that she understands, appreciates, and cheerfully undertakes emergency tasks substantially beyond the call of duty.

10. Recommendation

Based on the foregoing statements, it is recommended by the rating supervisor that the employee be rated as "Outstanding" on the ground that all aspects of her performance not only exceed the work requirements of the job but are outstanding and deserve special commendation.

Exhibit D

APPROVED OUTSTANDING RATING FOR JOHN JONES,
FOREIGN AFFAIRS OFFICER, GS-11

July __, 195__

Job Content or Responsibilities

The job description for Mr. Jones is substantially accurate.

Job Work Requirements

In order to perform functions of the position adequately the officer must have (1) full knowledge of resolutions, treaties and other instruments approved by Inter-American Conferences, Meetings of Consultation, the Council of the OAS, and the Inter-American Peace Committee; (2) ability to analyze such instruments in order to determine whether action is required and, if so, to recommend what that action should be; (3) full knowledge of the political relationships between the United States and each of the other American Republics and among these governments, and the manner in which these relationships are likely to affect OAS consideration or implementation of action; (4) ability to develop and maintain good working relationships with other officers in the Department, as well as with representatives of other departments and agencies; (5) ability to deal effectively with officials of the Pan American Union (which is the Secretariat of the OAS) and with the representatives of the other American governments who make up their delegations to the COAS; and (6) full proficiency in reading, speaking, and writing Spanish, and at least a fair reading knowledge of Portuguese and French.

(4) Supervisor's Narrative Appraisal of Over-All Work Performance

The incumbent has met all of the job work requirements for the position which he holds in a thoroughly outstanding manner. Specifically:

(I) He demonstrates an unusual knowledge of the treaties and other instruments which provide the framework of the Organization of American States and the procedures of the various organs of the OAS. This knowledge and his ability to use it effectively were demonstrated in the period of preparation for the Tenth Inter-American Conference and during the Conference itself. He bore a considerable part of the function of review of position and background papers for the meeting, dealing with 28 different items on the agenda in the political, juridical, economic, social, cultural and organizational fields. This review could only have been carried out skillfully and effectively by an officer who had in his head or at his finger tips information on the provisions of numerous and extremely complicated sets of treaties, agreements, resolutions and procedures of the many different organs and organizations of the OAS. To illustrate the unusually high quality of his ability in this respect, there are attached copies of examples of his drafting ability as follows: (1) copy of an instruction setting forth the prospective United States positions on several items for the Tenth Conference (Annex A); (2) a copy of a report he produced on a typical day's work of the Caracas Conference (Annex B); and (3) a copy of a summary of the accomplishments of the Caracas Conference prepared entirely by the incumbent (Annex C).

Exhibit D (cont.)

(II) Also outstanding is his ability to analyze the above and to determine whether action is required and, if so, recommend the action to be taken. On a number of occasions he has demonstrated keen perception of the implications of the course of events and has made recommendations without the necessity of being requested to do so. He has also shown remarkable ability to analyze specific problems--such as those found in the agenda items of the Tenth Inter-American Conference--and to prepare recommendations which are generally found acceptable by his superior officers without any substantial change from the original draft. An example of the work he has done in this respect is found in the attached copy of a Tenth Conference Position Paper prepared by the incumbent on the extremely complicated subject of the 1928 Inter-American Convention on Duties and Rights of States in the Event of Civil Strife (Annex D).

(III) Full knowledge of political relationships between United States and Latin American countries and likely effects of these relationships on prospective OAS action: The effective manner in which this requirement is met is demonstrated by the attached section of a paper prepared in the Department as a case history of the Communist penetration of Guatemala (Annex E)--a paper prepared for the postponed Meeting of Foreign Ministers, which has been used extensively to demonstrate to other governments the problem involved. This attached section of the paper deals with the extremely complicated effects of Communist penetration of Guatemala on that government's relations with its neighbors, with all of the other American Republics in the OAS, and with other governments outside the hemisphere. The knowledge of political relationships and analytical ability required to produce a study of the quality of that attached is seldom found in officers of greater experience and maturity. A copy of a memorandum prepared by the Counselor of the Embassy in Chile, who was brought back to Washington to work on the whole project, is attached (Annex F) in order to indicate the high regard in which the incumbent's work is held. The comments of the Assistant Secretary in this regard are included in the same Annex.

(IV) The incumbent's ability to develop and maintain good working relations with officers of the Department and other agencies is attested by the exemplary manner in which he performed the task of coordinating preparations for the Tenth Conference, involving dealing with officers and other employees in all parts of the Department and the Federal Government, with quiet efficiency and with a marked absence of friction or wounded feelings. This same type of working relationship was extremely valuable at the Caracas Conference where the 18-hour working day might well have produced disharmony rather than the good will which prevailed in all his working relations. (A memorandum relating to the incumbent's Tenth Conference work is attached as Annex G).

(V) Ability to deal effectively with officials of the Pan American Union and Representatives of the Latin American Governments at the OAS: The incumbent faces frequent problems which call for cooperation with officials of the Pan American Union or involve discussion of specific points with Latin American representatives. In his capacity as Adviser to the U. S. Representative on the COAS, he serves as U. S. Representative in meetings of COAS committees and subcommittees. In doing so he always carries out his responsibilities in a quiet but thoroughly effective manner and represents well the interests and objectives of the United States, both in meetings and in day-to-day working relations. A copy of a memorandum bearing on this point, prepared by Ambassador _____, U. S. Representative on the COAS, is attached (Annex H).

Exhibit D (cont.)

(VI) Knowledge of Spanish--reading, speaking and writing--and fair reading knowledge of French and Portuguese. The outstanding quality of the incumbent's language ability, especially in Spanish, is attested by the fact that his translations from English to Spanish and from Spanish to English in the course of his work faithfully convey delicate nuances of meaning accurately reflecting points of importance to the Latin Americans. He takes part in COAS committee meetings which are carried on in Spanish. The best indications of his ability in this regard are: (1) he carried out effectively the responsibility for review of the Spanish version of the Final Act of the Caracas Conference--over 100 separate resolutions--in order to insure that the English, Portuguese and French versions accurately reflected the intended meaning. The complexity of the job is illustrated by the attached copy of the document (Annex I); and (2) he participated in the review of the Spanish version of the document prepared regarding Communist penetration of Guatemala in order to insure that it was translated in the manner most effective for presentation to the Latin Americans.

Exhibit E

APPROVED OUTSTANDING RATING FOR JAMES SMITH,
INTERNATIONAL ECONOMIST, GS-15

March 195__

Job Content or Responsibilities

The job description for Mr. Smith is substantially accurate.

Job Work Requirements

Incumbent should have thorough general knowledge of the international problems related to the responsibilities of the _____ Staff. He should have necessary executive ability to direct the work of those members of the Staff assigned within his area of responsibility by the Staff Chief, delegating responsibility while maintaining control and direction of work. He should be capable of assuming responsibility for operation of the Staff in the absence of the Staff Chief, or for any areas of Staff operations for which the Staff Chief sees fit to delegate responsibility, on a temporary or continuing basis. He should be capable of effectively representing the Staff or the Department in inter-departmental meetings, in meetings with the public or with representatives of other governments. He should be able to express himself concisely and effectively orally and in writing, and should be able to judge draftsmanship and develop it in subordinate officers. He should be thoroughly familiar with the responsibilities of various parts of the Department and other Departments for matters relating to the Staff's responsibilities and be able to maintain cordial relationships therewith without sacrificing the maintenance of policy positions. He should be able to recognize and foresee problems and to exercise sound judgment in dealing with them. He should assist the Staff Chief in maintaining efficient operations throughout the Staff.

Justification of Rating of Outstanding

During the year under review Mr. Smith has performed his job functions in a manner which can be judged only as outstanding. This evaluation appropriately applies to all elements of Mr. Smith's work. He is an unusually facile and clear draftsman, and has frequently demonstrated his ability to reduce highly complicated problems to a succinct yet comprehensive written presentation. He is an effective spokesman for the Department, and has continually proved his ability to win adherence to a given position with the tact and persuasiveness that preserve the best of working relationships with other offices and agencies. He has a thorough grasp of policy, general and particular, combined with a well-balanced judgment that commands the respect of others. In this connection, he consistently displays superior powers of analysis and a keen sensitivity to points of potential difficulty. His efficiency as a presiding officer has led to repeated requests from other agencies that he be made available to chair inter-departmental working groups wrestling with highly controversial problems. Thus, for example, on nomination by the Assistant Deputy Director, Mr. Smith was asked by the Executive Committee to chair a special working group formed to develop an agreed evaluation of a report on Soviet economic trends and their implications for East-West trade, which had been prepared by a consulting expert. This task was

Exhibit E (cont.)

accomplished in a highly satisfactory manner, and it is now the further difficult assignment of this special group under Mr. Smith to focus the varying agency interests and attitudes into a comprehensive set of research requirements representing an orderly approach to future policy needs for economic defense research.

Mr. Smith makes effective use of subordinates, has devoted valuable effort toward training new or junior personnel, and has always been held in affectionate and high esteem by all other members of the staff. For long periods of time, totaling more than a third of the year under review, he has assumed entire charge of the staff as Acting Chief.

In addition to the general excellence of his performance, Mr. Smith merits the commendation of an outstanding rating because of the important and effective role he played in connection with the review, renegotiation and revision of the international strategic lists for security trade controls. This massive task occupied most of the energies of the economic defense staffs in the various agencies, and of such staffs in the various member countries of the Paris Consultative Group, between the first of April 1954, when the multilateral review began on an intensive basis, until the middle of August 1954, when the general revision of the lists was made effective. Since the latter date, a number of knotty residual problems have continued to demand similar attention.

Within the U. S. Government, and under the general policy guidance of the National Security Council, the bulk of this list review work was concentrated in a new inter-departmental working group, responsible both to the Economic Defense Advisory Committee and the Advisory Committee on Export Policy. Within a very compressed period of time, this committee had to organize, supervise and perform the complex work of item analysis and review, the preparation of negotiating positions and instructions, the support of multilateral negotiations and the preparation of recommendations for final Government decision, including review by the National Security Council. The complexity of this entire task was compounded by the emotional potential of many of the inter-departmental and inter-governmental conflicts of view. Mr. Smith has been, from the beginning, the Department's principal representative on this committee. In addition, he served as a member of the U. S. Delegation to the Consultative Group meeting which passed upon the list revision, and just prior thereto participated in the difficult bilateral discussions on disagreed items with the United Kingdom. It is due in no small measure to Mr. Smith's imaginative guidance, patient perseverance and unfailing tact that this large and difficult assignment was discharged with a high measure of success for the United States, and that the Department of State was able to maintain an effective role in this inter-agency support activity with a minimum of undesirable friction or loss of inter-departmental good will.

The following are several additional examples of complex East-West trade control problems which required U. S. Government study and international negotiation during the period under review and in which Mr. Smith bore the primary responsibility for the Department so far as work in Washington was concerned. All these cases required both intra- and inter-departmental coordination at high levels, and in all of them Mr. Smith displayed the particular talents noted in paragraph one above. Credit is due these talents and Mr. Smith's persevering efforts for the fact that United States objectives were, or are being, substantially met in all these cases:

Exhibit E (cont.)

1. Mr. Smith has been steering the negotiating approach in Paris and in the various COCOM capitals on the problem of restricting certain specialized items. These negotiations have been based on highly restricted information and were supported by other than the normal economic defense policy areas of the government. A fundamental problem has been to guide this negotiating effort in such way as not to conflict with negotiations on related items. This problem involved development of negotiating instructions to London and Paris which appropriately related and explained the two aspects of the negotiations, and briefing the special agency interests in Washington adequately satisfied that their interests were being considered.

2. Mr. Smith has borne the main burden of developing negotiating instructions concerning controls over equipment. This major COCOM problem has progressed through various stages of evolution, each stage requiring prolonged soul-searching on the part of interested agencies in Washington.

3. Mr. Smith has guided presentation of a special case concerning certain equipment. This work included preparation of various high-level exchanges, as well as bilateral discussions, and included the drafting of a diplomatic note and a letter from the Acting Secretary to the Under Secretary of Defense.

4. In his capacity as the Department's member of the EDAC Working Group on Export Control Levels, Mr. Smith has been instrumental in developing instructions for the multilateral discussion of methods for making the non-embargo principles and procedures more effective. This negotiating effort toward improvement of cooperative export control techniques has been undertaken pursuant to last year's general policy directives of the Paris Consultative Group.

Exhibit F

FICTITIOUS DISAPPROVED OUTSTANDING RATING FOR JANE DOE,
SECRETARY, GS-5

June 195

Job Content or Responsibilities

The job description is substantially accurate.

Job Work Requirements

Promptly screens incoming materials and makes initial distribution to proper officer. Independently, and nearly always correctly, analyzes this material as to pertinence and immediate usefulness in current projects. Prepares all administrative reports for the Branch (e.g., leave, time use). Collects pertinent information for all research and information reports. Maintains Branch files in orderly and neat fashion; assists in training new clerical employees in filing techniques. Exercises considerable discretion in receiving callers by referring to appropriate officer and personally disposes of minor business matters. Assists the Chief in maintaining high employee morale by providing responsible clerical assistance to all staff members. Works harmoniously as member of clerical staff. Takes dictation at a rapid rate of speed and transcribes accurately within time specified for completion; composes routine Branch memoranda and letters for own or superior's signature. Understands and observes Departmental security regulations.

Supervisor's Narrative Appraisal of Over-All Work Performance

In every respect, Miss Doe is an outstanding secretary. She combines secretarial skills, of a high order, with extensive knowledge of Departmental procedures and personnel; comprehensive understanding of the substantive work of the office; and exceptional ability to handle with courtesy, smoothness and poise, the heavy traffic of telephone calls and visitors. Miss Doe has shown outstanding efficiency in handling the unusually large volume and variety of mail she receives each day. She promptly refers each item to the proper person. She knows the needs of the Branch and the personal work requirements of her supervisor so well that she can anticipate the development of problems and takes steps on her own initiative to work out solutions. The outstanding aspect of the way she carries out this duty is her ability to quietly, pleasantly, yet firmly, get others to aid her and work "for" her. I rate Miss Doe as "outstanding" on each of the various aspects of her job both isolated out and considered separately. She is the very model of a good secretary and richly deserves an "outstanding" rating.

Exhibit G

DO'S AND DON'T'S TO OBSERVE IN RATING "OUTSTANDING"

DO prepare adequate job work requirements.

DO be specific; DON'T limit yourself to broad general statements.

DON'T be too brief; the Committee needs all the information that it can get.

DO remember all aspects of performance must exceed normal requirements.

DO remember all aspects of performance must be outstanding and deserve commendation.

DO remember the required level of performance must be sustained throughout the rating period, which should normally be at least one year.

DO remember the required level of performance must be readily recognizable by both supervisors and fellow employees.

DO give specific examples.

DON'T forget the time limit for submission.

DO take this seriously if you wish employees to receive adequate consideration.

DO BEAR IN MIND THAT THE COMMITTEE CANNOT OBSERVE THE EMPLOYEE'S PERFORMANCE--ITS ONLY BASIS FOR DETERMINATION IS THE JUSTIFICATION THAT THE SUPERVISOR SUBMITS. MAKE SURE THAT YOU DO FULL JUSTICE TO YOUR EMPLOYEES.